

81688 U.S. PTO



04/25/97

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application

Commissioner of Patents and Trademarks

Washington, D.C. 20231

59383 U.S. PTO

08845752



04/25/97

NEW APPLICATION TRANSMITTAL

Please find enclosed herewith for filing, the patent application of

Inventor(s): Ritu Shrivastava and Chitranjan N. Reddy

For (title): FLASH EPROM ARRAY WITH SELF-ALIGNED SOURCE CONTACTS AND PROGRAMMABLE SECTOR ERASE ARCHITECTURE

1. Type of Application

This transmittal is regarding an:

- | | | | |
|-------------------------------------|----------|--------------------------|----------------------------|
| <input checked="" type="checkbox"/> | Original | <input type="checkbox"/> | Divisional |
| <input type="checkbox"/> | Design | <input type="checkbox"/> | Continuation |
| <input type="checkbox"/> | Plant | <input type="checkbox"/> | Continuation-in-Part (CIP) |

2. Benefit of Prior U.S. Application(s) (35 U.S.C. §120)

- ☒ The new application being transmitted does not claim the benefit of any prior application(s).
- ☐ The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are "ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED."

3. Papers Required for Filing Date

Applicant(s) submits herewith the following papers pursuant to 37 C.F.R. §1.53(b)

- 16 Pages of Specification
- 7 Pages of Claims
- 1 Pages of Abstract
- 19 Pages of Drawings

- ☒ Formal drawings
- ☐ Informal drawings

- ☐ Applicant has enclosed photographs as drawings. Pursuant to 37 C.F.R. §1.84(b), included is a PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)

CERTIFICATE OF MAILING (C.F.R. 1.10)

I hereby certify that this New Application Transmittal and documents referred to as enclosed therein are being deposited with the United States Postal Service on this date April 25, 1997 in an envelope as "Express Mail Post Office to Addressee"

Mailing Label Number EH 7138 32 766 US addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231

Name of person mailing paper:

PAULA CHIN

Signature of person mailing paper:

4. Additional papers enclosed

- ☐ Preliminary Amendment
- ☒ Information Disclosure Statement
- ☒ Form PTO-1449
- ☐ Citations
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
- ☐ Special Comments
- ☐ Other

5. Declaration or Oath

Pursuant to 37 C.F.R. §1.63 Applicant submits herewith

- ☒ A declaration executed by
 - ☒ inventor(s)
 - ☐ legal representatives of inventor(s)
 - ☐ joint inventor or person showing proprietary interest on behalf of inventor who refused to sign or cannot be reached.Pursuant to 37 C.F.R. §1.47 Applicant includes herewith the required petition and statement.
- ☐ A Declaration or Oath is **NOT** included
 - ☐ Application is made by a person authorized under 37 C.F.R. §1.41(c) on behalf of all the above named inventor(s).
 - ☐ A showing is also made showing that the filing is authorized.

6. Language of Application

The language of the application is:

- ☒ English, pursuant to 37 C.F.R. §1.52(a)
- ☐ Not English
 - ☐ the attached translation is a verified translation pursuant to 37 C.F.R. §1.52(a).
 - ☐ included is the fee set forth under 37 C.F.R. §1.17(k)
 - ☐ a verified translation pursuant to 37 C.F.R. §1.2(a) and the required fee set forth under 37 C.F.R. §1.17(k) will be submitted within the time set by the Patent Office.

7. Assignment and Recordal of Assignment

- ☒ Applicant(s) has assigned the invention to:

ALLIANCE SEMICONDUCTOR CORPORATION

- ☒ The assignment is submitted herewith for recordal. Pursuant to 37 C.F.R. §3.28 a separate assignment cover sheet is also attached.
- ☐ The assignment for recordal will follow.

8. Claim of Foreign Priority

- ☒ Applicant(s) do(es) NOT claim priority from a prior foreign application.
- ☐ Applicant(s) claim(s) foreign priority pursuant to 35 U.S.C. §119 and §172. In accordance with 37 C.F.R. §1.55 the foreign applications are identified below:

<u>Country</u>	<u>Application Number</u>	<u>Filing Date</u>
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certified copies of these applications

☐ is (are) attached.

☐ will follow.

9. Filing Fee Calculation

- A. ☒ Original Application

Basic fee:				=	\$ 770.00
Fee for Claims in Excess of Twenty:	29	- 20 =	9	x 22 =	\$ 198.00
Fee for Ind. Claims in Excess of Three:	3	- 3 =	0	x 80 =	\$ 0.00
Fee for Multiple Dependent Claim(s):	0			+260 =	\$ 0.00
Total filing fee:					\$968.00

- ☐ An amendment canceling extra claims enclosed.
- ☐ An amendment deleting multiple-dependencies enclosed.
- ☐ The fee for extra claims is not being paid at this time.

- B. ☐ Design Application

Basic Fee----- \$320.00

Total Filing Fee Calculation \$ n/a

- C. ☐ Plant Application

Basic Fee----- \$530.00

Total Filing Fee Calculation \$ n/a

10. Small Entity Statement(s) and Reduction of Fees Therefor

- ☐ A Verified Statement(s) Claiming Small Entity Status for this application is attached, pursuant to 37 C.F.R. §1.27 is attached.

Total from part 10A, 10B or 10C, above: \$ 0.00
(reduced by half)

Filing Fee Calculation \$ n/a

11. Request for International -Type Search Per 37 C.F.R. §1.104(d)

- ☐ Please prepare an international-type search report for this application at the time when the national examination on the merits takes place.

12. Total Fee Payment For This Transmittal

- ☐ No fees are enclosed at this time
☐ No filing fee is being paid at this time.

☒ Fees paid at this time

<input checked="" type="checkbox"/>	Filing fee	\$ 968.00
<input checked="" type="checkbox"/>	Assignment recordal fee	\$ 40.00
<input type="checkbox"/>	Petition fee for filing by other than all of the inventors or person on behalf of the inventor who refused to sign or cannot be reached (\$130.00)	\$.00
<input type="checkbox"/>	Processing fee for an application with a specification in a non-English language (\$130.00)	\$.00
<input type="checkbox"/>	Processing and retention fee (\$130.00)	\$.00
<input type="checkbox"/>	international-type search report fee (\$40.00)	\$.00
Total fees:		\$1008.00

13. Method of Payment of Fees

- ☐ Check in the amount of \$ _____
☒ Charge account no. 01-0886 in the amount of \$ 1,008.00.
A duplicate of this transmittal is attached.

14. Authorization to Charge Additional Fees

- ☒ The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 01-0886.
☒ 37 C.F.R. §1.16(a), (f) or (g) (filing fees)
☒ 37 C.F.R. §1.16(b), (c) and (d) (presentation of extra claims)
☐ 37 C.F.R. §1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
☒ 37 C.F.R. §1.17 (application processing fees)
☐ 37 C.F.R. §1.18 (issue fee at or before mailing Notice of Allowance, pursuant to 37 C.F.R. §1.311(b))

15. Instructions as to Overpayment

- ☒ Please Credit Account No. 01-0886.
☐ Refund

16. **Signature by Attorney or Agent**

Respectfully submitted,

APRIL 25, 1997

Date

Bradley T. Sako

Bradley T. Sako

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ALLIANCE SEMICONDUCTOR

CORPORATION

3099 North First Street

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☒ **Incorporation by reference of added pages**

☐ Plus Added Pages For New Application Transmittal Where Benefit Of
Prior U.S. Application(s) Claimed

Number of added pages ____.

☒ Plus Added Pages For Papers Referred To In Item 4 Above

Number of added pages 152

☐ **Statement Where No Further Pages Added**

☐ This transmittal ends with this page.